



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Steven I. Ross and Robert C. Armes
Application No.: 09/931,505 Group Art Unit: 2655
Filed: August 16, 2001 Examiner: Wozniak, James S.
Confirmation No.: 3682
Title: System and Method for Determining Utterance Context in a Multi-Context Speech Application

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
1/24/05	Margaret A. Norcitt
Date	Signature
Margaret A. Norcitt	
Typed or printed name of person signing certificate	

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
 - ☒ Copies of the cited references, AS and AT, are enclosed.
 - ☒ Copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
 - ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
 - ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
 - ☐ The "concise explanation" requirement (non-English references) for reference(s) [] under 37 CFR 1.98(a)(3) is satisfied by:
 - ☐ the explanation provided on the attached sheet.
 - ☐ the explanation provided in the Specification.
 - ☐ submission of the enclosed International Search Report.
 - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
 - ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's
Initials

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

Examiner

Date

☐ A copy of each above-cited application, including the current claims, is enclosed, except any application filed on or after June 30, 2003, which has been scanned into the PTO's Image File Wrapper (IFW) system and is available to the examiner.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

☐ Please charge Deposit Account 08-0380 in the amount of \$[]. A copy of this Statement is enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

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Dated: 1/21/05

PTO-1449 REPRODUCED

INFORMATION DISCLOSURE STATEMENT
IN AN APPLICATION

JAN 26 2005

January 19, 2005

(Use several sheets if necessary)

ATTORNEY DOCKET NO.
1280.2002-001APPLICATION NO.
09/931,505FIRST NAMED INVENTOR
Steven I. RossFILING DATE
August 16, 2001EXAMINER
Wozniak, James S.CONFIRMATION NO.
3682GROUP
2655

U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / MM-DD-YYYY	NAME OF PATENTEE OF CITED DOCUMENT
	AG	4,729,096	03/01/1988	Larson
	AH	4,736,296	04/05/1988	Katayama <i>et al.</i>
	AI	5,101,349	03/31/1992	Tokuume <i>et al.</i>
	AJ	5,239,617	08/24/1993	Gardner <i>et al.</i>
	AK	5,282,265	01/25/1994	Rohra Suda <i>et al.</i>
	AA2	5,383,121	01/17/1995	Letkeman
	AB2	5,386,556	01/31/1995	Hedin <i>et al.</i>
	AC2	5,390,279	02/14/1995	Strong
	AD2	5,677,835	10/14/1997	Carbonell <i>et al.</i>
	AE2	5,678,052	10/14/1997	Brisson
	AF2	5,918,222	06/29/1999	Fukui <i>et al.</i>
	AG2	5,937,385	08/10/1999	Zadrozny <i>et al.</i>
	AH2	5,960,384	09/28/1999	Brash
	AI2	6,023,669	02/08/2000	Suda <i>et al.</i>
	AJ2	6,044,347	03/28/2000	Abella <i>et al.</i>
	AK2	6,073,102	06/06/2000	Block
	AA3	6,138,100	10/24/2000	Dutton <i>et al.</i>
	AB3	6,192,110	02/20/2001	Abella <i>et al.</i>
	AC3	6,314,402	11/06/2001	Monaco <i>et al.</i>
	AD3	6,334,103	12/25/2001	Surace <i>et al.</i>
	AE3	6,466,654	10/15/2002	Cooper <i>et al.</i>
	AF3	6,542,868	04/01/2003	Badt <i>et al.</i>
	AG3	6,604,075	08/05/2003	Brown <i>et al.</i>
	AH3	6,647,363	11/11/2003	Claassen
	AI3	6,721,706	04/13/2004	Strubbe <i>et al.</i>

EXAMINER

DATE CONSIDERED

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EXAMINER
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U.S. PATENT DOCUMENTS

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PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 1280.2002-001	APPLICATION NO. 09/931,505	
INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION January 19, 2005 (Use several sheets if necessary)		FIRST NAMED INVENTOR Steven I. Ross		FILING DATE August 16, 2001
		EXAMINER Wozniak, James S.	CONFIRMATION NO. 3682	GROUP 2655

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AS	McGlashan, S., "Towards Multimodal Dialog Management," June 1996, Proceedings of Twente Workshop on Language Technology 11, pp. 1-10.
AT	Spoken Language Dialog Systems, pp. 1-2, November 15, 2000, http://www.mriq.edu.au/ltg/slp803D/class/Jones/overview.html (downloaded May 16, 2001).
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AV	
AW	
AX	
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EXAMINER	DATE CONSIDERED
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